

found to be careless in oversight of inspectors or has a history of violations. Contractors and licensees shall be held fully responsible for inspector performance in the course of duty.

(c) *Recordkeeping.* The oversight agency shall maintain records of all warnings, civil fines, suspensions, revocations, and violations and shall compile statistics on violations and penalties on an annual basis.

(d) *SIP requirements.* (1) The SIP shall include the penalty schedule and the legal authority for establishing and imposing penalties, civil fines, license suspension, and revocations.

(2) In the case of State constitutional impediments to immediate suspension authority, the State Attorney General shall furnish an official opinion for the SIP explaining the constitutional impediment as well as relevant case law.

(3) The SIP shall describe the administrative and judicial procedures and responsibilities relevant to the enforcement process, including which agencies, courts, and jurisdictions are involved; who will prosecute and adjudicate cases; and other aspects of the enforcement of the program requirements, the resources to be allocated to this function, and the source of those funds. In States without immediate suspension authority, the SIP shall demonstrate that sufficient resources, personnel, and systems are in place to meet the three day case management requirement for violations that directly affect emission reductions.

(e) Alternative quality assurance procedures or frequencies that achieve equivalent or better results may be approved by the Administrator. Statistical process control shall be used whenever possible to demonstrate the efficacy of alternatives.

(f) Areas that qualify for and choose to implement an OTR low enhanced I/M program, as established in §51.351(h), and that claim in their SIP less emission reduction credit than the basic performance standard for one or more pollutants, are not required to meet the oversight specifications of this section.

[57 FR 52987, Nov. 5, 1992, as amended at 61 FR 39037, July 25, 1996]

**§51.365 Data collection.**

Accurate data collection is essential to the management, evaluation, and enforcement of an I/M program. The program shall gather test data on individual vehicles, as well as quality control data on test equipment.

(a) *Test data.* The goal of gathering test data is to unambiguously link specific test results to a specific vehicle, I/M program registrant, test site, and inspector, and to determine whether or not the correct testing parameters were observed for the specific vehicle in question. In turn, these data can be used to distinguish complying and non-complying vehicles as a result of analyzing the data collected and comparing it to the registration database, to screen inspection stations and inspectors for investigation as to possible irregularities, and to help establish the overall effectiveness of the program. At a minimum, the program shall collect the following with respect to each test conducted:

- (1) Test record number;
- (2) Inspection station and inspector numbers;
- (3) Test system number;
- (4) Date of the test;
- (5) Emission test start time and the time final emission scores are determined;
- (6) Vehicle Identification Number;
- (7) License plate number;
- (8) Test certificate number;
- (9) Gross Vehicle Weight Rating (GVWR);
- (10) Vehicle model year, make, and type;
- (11) Number of cylinders or engine displacement;
- (12) Transmission type;
- (13) Odometer reading;
- (14) Category of test performed (i.e., initial test, first retest, or subsequent retest);
- (15) Fuel type of the vehicle (i.e., gas, diesel, or other fuel);
- (16) Type of vehicle preconditioning performed (if any);
- (17) Emission test sequence(s) used;
- (18) Hydrocarbon emission scores and standards for each applicable test mode;
- (19) Carbon monoxide emission scores and standards for each applicable test mode;

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(20) Carbon dioxide emission scores (CO+CO<sub>2</sub>) and standards for each applicable test mode;

(21) Nitrogen oxides emission scores and standards for each applicable test mode;

(22) Results (Pass/Fail/Not Applicable) of the applicable visual inspections for the catalytic converter, air system, gas cap, evaporative system, positive crankcase ventilation (PCV) valve, fuel inlet restrictor, and any other visual inspection for which emission reduction credit is claimed;

(23) Results of the evaporative system pressure test expressed as a pass or fail;

(24) Results of the evaporative system purge test expressed as a pass or fail along with the total purge flow in liters achieved during the test; and

(25) Results of the on-board diagnostic check expressed as a pass or fail along with the diagnostic trouble codes revealed.

(b) *Quality control data.* At a minimum, the program shall gather and report the results of the quality control checks required under § 51.359 of this subpart, identifying each check by station number, system number, date, and start time. The data report shall also contain the concentration values of the calibration gases used to perform the gas characterization portion of the quality control checks.

[ 57 FR 52987, Nov. 5, 1992, as amended at 61 FR 40945, Aug. 6, 1996]

### § 51.366 Data analysis and reporting.

Data analysis and reporting are required to allow for monitoring and evaluation of the program by program management and EPA, and shall provide information regarding the types of program activities performed and their final outcomes, including summary statistics and effectiveness evaluations of the enforcement mechanism, the quality assurance system, the quality control program, and the testing element. Initial submission of the following annual reports shall commence within 18 months of initial implementation of the program as required by § 51.373 of this subpart. The biennial report shall commence within 30 months of initial implementation of the pro-

gram as required by § 51.373 of this subpart.

(a) *Test data report.* The program shall submit to EPA by July of each year a report providing basic statistics on the testing program for January through December of the previous year, including:

(1) The number of vehicles tested by model year and vehicle type;

(2) By model year and vehicle type, the number and percentage of vehicles:

(i) Failing the emissions test initially;

(ii) Failing each emission control component check initially;

(iii) Failing the evaporative system functional and integrity checks initially;

(iv) Failing the first retest for tailpipe emissions;

(v) Passing the first retest for tailpipe emissions;

(vi) Initially failed vehicles passing the second or subsequent retest for tailpipe emissions;

(vii) Initially failed vehicles passing each emission control component check on the first or subsequent retest by component;

(viii) Initially failed vehicles passing the evaporative system functional and integrity checks on the first or subsequent retest by component;

(ix) Initially failed vehicles receiving a waiver;

(x) Vehicles with no known final outcome (regardless of reason);

(xi) Passing the on-board diagnostic check and failing the I/M emission test;

(xii) Failing the on-board diagnostic check and passing the I/M emission test;

(xiii) Passing both the on-board diagnostic check and I/M emission test;

(xiv) Failing both the on-board diagnostic check and I/M emission test;

(xv) Passing the on-board diagnostic check and failing the I/M evaporative test;

(xvi) Failing the on-board diagnostic check and passing the I/M evaporative test;

(xvii) Passing both the on-board diagnostic check and I/M evaporative test;

(xviii) Failing both the on-board diagnostic check and I/M evaporative test;